

414 Rec'd PCT TO 1 5 NOV 1992

FORM PTO-1390
(REV. 5-93)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTORNEY'S DOCKET NUMBER
2345/103**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/423948INTERNATIONAL APPLICATION NO.
PCT/EP98/02494INTERNATIONAL FILING DATE
(28.04.98)
28 April 1998PRIORITY DATE CLAIMED:
(15.05.97)
15 May 1997TITLE OF INVENTION
INTERFEROMETER TUNABLE IN A NON-MECHANICAL MANNER BY A PANCHARATNAM PHASEAPPLICANT(S) FOR DO/EO/US
DULTZ, Wolfgang; BERESNEV, Leonid and HILS, Bernhard

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Preliminary Examination Report and International Search Report.

EXPRESS MAIL NO. EL179103801US

U.S. APPLICATION NO. if known, see
37 C.F.R.1.5

09/423948

INTERNATIONAL APPLICATION NO.
PCT/EP98/02494ATTORNEY'S DOCKET NUMBER
234517. ☒ The following fees are submitted:**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO \$840.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) ... \$670.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but
international search fee paid to USPTO (37 CFR 1.445(a)(2)) \$760.00Neither international preliminary examination fee (37 CFR 1.482) nor international
search fee (37 CFR 1.445(a)(2)) paid to USPTO \$970.00International preliminary examination fee paid to USPTO (37 CFR 1.482) and all
claims satisfied provisions of PCT Article 33(2)-(4) \$96.00

CALCULATIONS | PTO USE ONLY

ENTER APPROPRIATE BASIC FEE AMOUNT = \$ 840Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months
from the earliest claimed priority date (37 CFR 1.492(e)). \$

Claims	Number Filed	Number Extra	Rate		
Total Claims	5 - 20 =	0	X \$18.00	\$ 0	
Independent Claims	1 - 3 =	0	X \$78.00	\$ 0	
Multiple dependent claim(s) (if applicable)			+ \$260.00	\$ 0	

TOTAL OF ABOVE CALCULATIONS = \$ 840Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must
also be filed. (Note 37 CFR 1.9, 1.27, 1.28). \$**SUBTOTAL =** \$ 840Processing fee of \$130.00 for furnishing the English translation later the ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)). + \$**TOTAL NATIONAL FEE =** \$ 840Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + \$**TOTAL FEES ENCLOSED =** \$ 840

Amount to be:	
refunded	\$
charged	\$

- a. ☐ A check in the amount of \$_____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 11-0600 in the amount of **\$840.00** to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 11-0600. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Kenyon & Kenyon
One Broadway
New York, New York 10004

SIGNATURE

Richard L. Mayer, Reg. No. 22,490
NAME

DATE

11/15/99

09/423948
414 Rec'd PCT/PTO 15 NOV 1999

EXPRESS MAIL CERTIFICATE

"EXPRESS MAIL" MAILING LABEL NUMBER E1179103861

DATE OF DEPOSIT 11/16/99

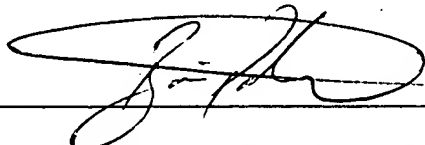
TYPE OF DOCUMENT National phase app. of Pktz et al

SERIAL NO. _____ FILING DATE Herewith

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE, BY BEING HANDED TO A POSTAL CLERK OR BY BEING PLACED IN THE EXPRESS MAIL BOX BEFORE THE POSTED DATE OF THE LAST PICK UP, AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.

BORIS POLANCO

(TYPED OR PRINTED NAME OF PERSON MAILING PAPER OR FEE)



(SIGNATURE OF PERSON MAILING PAPER OR FEE)

*Title: Interpromoter Turbine in a Non-Mechanical
Stage By a Pancharatnam Phase*